

Docket No. 268505US0PCT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Shoei FURUKAWA, et al.

SERIAL NO: 10/529,784

GAU:

FILED: March 30, 2005

EXAMINER:

FOR: NEUROTROPHIC FACTOR PRODUCTION PROMOTER

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

## REFERENCES

- The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## RELATED CASES

- Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## CERTIFICATION

- Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

## DEPOSIT ACCOUNT

- Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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| Form PTO 1449<br>(Modified)  |  | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE |          | ATTY DOCKET NO.<br>268505US0PCT                |  | SERIAL NO.<br>10/529,784 |                            |
|--|--|--|----------|--|--|--------------------------|----------------------------|
| LIST OF REFERENCES CITED BY APPLICANT  |  | APPLICANT  |          | Shoei FURUKAWA, et al.                         |  |                          |                            |
|  |  | FILING DATE  |          | March 30, 2005                                 |  |                          |                            |
| <b>U.S. PATENT DOCUMENTS</b>   |  |  |          |  |  |                          |                            |
| EXAMINER INITIAL   |  | DOCUMENT NUMBER  | DATE     | NAME   | CLASS  | SUB CLASS                | FILING DATE IF APPROPRIATE |
| AA   |  | 5 798 355  | 08/25/98 | STEINER et al.                                 |  |                          |                            |
| AB   |  |  |          |  |  |                          |                            |
| AC   |  |  |          |  |  |                          |                            |
| AD   |  |  |          |  |  |                          |                            |
| AE   |  |  |          |  |  |                          |                            |
| AF   |  |  |          |  |  |                          |                            |
| AG   |  |  |          |  |  |                          |                            |
| AH   |  |  |          |  |  |                          |                            |
| AI   |  |  |          |  |  |                          |                            |
| AJ   |  |  |          |  |  |                          |                            |
| AK   |  |  |          |  |  |                          |                            |
| AL   |  |  |          |  |  |                          |                            |
| AM   |  |  |          |  |  |                          |                            |
| AN   |  |  |          |  |  |                          |                            |
| <b>FOREIGN PATENT DOCUMENTS</b>  |  |  |          |  |  |                          |                            |
|  |  | DOCUMENT NUMBER  | DATE     | COUNTRY  | TRANSLATION  |                          |                            |
|  | AO   | 97/16190   | 05/09/97 | WO (equivalent of US 2002/013344 & US 5801197) | YES  | NO                       |                            |
|  | AP   | 99/62881   | 12/09/99 | WO   |  |                          | NO                         |
|  | AQ   | 99/62879   | 12/09/99 | WO   |  |                          | NO                         |
|  | AR   |  |          |  |  |                          |                            |
|  | AS   |  |          |  |  |                          |                            |
|  | AT   |  |          |  |  |                          |                            |
|  | AU   |  |          |  |  |                          |                            |
|  | AV   |  |          |  |  |                          |                            |
| <b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>   |  |  |          |  |  |                          |                            |
| AW   | SMITH, III et al. "Total Synthesis of Rapamycin and Demethoxyrapamycin", J. Am. Chem. Soc., vol. 117, pages 5407-5408 1995   |  |          |  |  |                          |                            |
| AX   | TOONE et al. "Enzymes in organic synthesis. 40. Evaluation of the enantioselectivity of the pig liver esterase catalyzed hydrolyses of racemic piperidine carboxylic acid esters", Can. J. Chem., vol. 65, pages 2722-2726 1987    |  |          |  |  |                          |                            |
| AY   | SMITH, III et al. "A Unified Total Synthesis of the Immunomodulators (-)-Rapamycin and (-)-27-Demethoxyrapamycin: Assembly of the Common C(1-20) Perimeter and Final Elaboration", J. Am. Chem. Soc., vol. 119, pages 962-973 1997 |  |          |  |  |                          |                            |
| AZ   |  |  |          |  | <input type="checkbox"/> Additional References sheet(s) attached |                          |                            |
| Examiner   |  |  |          |  | Date Considered  |                          |                            |
| *Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |  |  |          |  |  |                          |                            |

U.S. PCT Application Serial No.: 10/529,784  
Docket No.: 268505US0PCT

#### STATEMENT OF RELEVANCY

- 1) References AA, AO, AW, AX have been cited in the International Search Report. Copies of these references are being submitted herewith only when not automatically provided by the International Searching Authority.
- 2) References \_\_\_\_\_ have been cited in the corresponding \_\_\_\_\_ Search Report. A copy of these references is being submitted herewith.
- 3) References AP, AQ are discussed in the specification. A copy of these references is being submitted here with.
- 4) Reference AY is additional prior art known to Applicant. A copy of theis reference is being submitted herewith.